

09/869388

PTO/SB/21 (6-98)

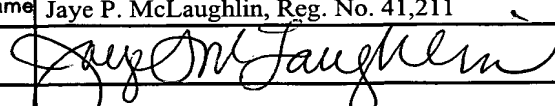
Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

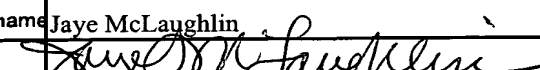
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<h1>TRANSMITTAL FORM</h1> <p>(to be used for all correspondence after initial filing)</p>	Application Number	09/869,388	
	Filing Date	June 28, 2001	
	First Named Inventor	Bates, et al.	
	Group Art Unit	To be determined	
	Examiner Name	To be determined	
Total Number of Pages in This Submission	20	Attorney Docket Number	SF0977X

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below) <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">         (1) Sequence Listing on Diskette; (2) Sequence Listing (15 pgs.); (3) Copy of Notification of Missing Requirements under 35 U.S.C. 371 in the U.S. Designated/Elected Office (DO/EO/US) and (4) Return Receipt Post Card       </div>
<div style="border: 1px solid black; height: 40px; width: 100%;">Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Jaye P. McLaughlin, Reg. No. 41,211
Signature	
Date	October 4, 2001

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: October 4, 2001	
Typed or printed name	Jaye McLaughlin
Signature	
Date	October 4, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



UNITED STATES PATENT AND TRADEMARK OFFICE

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United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.

09/869388

AUG 15 2001

BATES

ROUTE TO  
COMMENTS☒ COMPUTER INPUT  
☒ BZA  
☒ DEBIT NOTE ENTERED  
COMPLETED BY *DAY*

ATTY. DOCKET NO.

SF0977X

INTERNATIONAL APPLICATION NO.

PCT/US99/30004

I.A. FILING DATE

29 DEC 99

PRIORITY DATE

31 DEC 98

JAYE P. MCLAUGHLIN  
PATENT DEPT. K-6-1, 1990  
SCHERING-PLOUGH CORPORATION  
2000 GALLOPING HILL ROAD  
KENILWORTH, NJ 07033 0530

DATE MAILED:

06 AUG 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED  
STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as
- ☐
- a Designated Office (37 CFR 1.494)
- ☒
- an Elected Office (37 CFR 1.495):

- ☒
- U.S. Basic National Fee.
- ☐
- Indication of Small Entity Status.
- 
- ☒
- Copy of the international application.
- ☐
- Translation of the international application into English.
- 
- ☒
- Oath or Declaration of inventors(s).
- ☐
- Translation of Article 19 amendments into English.
- 
- ☐
- Copy of Article 19 amendments.
- ☐
- Other:
- 
- ☒
- Priority Document.
- 
- ☒
- The International Preliminary Examination Report in English and its Annexes, if any.
- 
- ☐
- Translation of Annexes to the International Preliminary Examination Report into English.

- 2.
- ☐
- Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐
- U.S. Basic National Fee.
- ☐
- Copy of the international application.

3. The following items
- MUST**
- be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐
- a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- 
- ☐
- The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- 
- ☐
- b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- 
- ☐
- c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- 
- ☐
- The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- 
- ☐
- d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$\_\_\_\_\_ as a
- ☐
- large entity
- ☐
- small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

- 5.
- ☒
- Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes
- MUST**
- be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
- 
- 7.
- ☐
- The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

- Enclosed:
- ☐
- PCT/DO/EO/917
- ☐
- Notice of Defective Translation
- 
- ☐
- PTO-875
- ☒
- PCT/DO/EO/920

Winston M Alvarado

Telephone: 703-305-6421

FORM PCT/DO/EO/905 (March 2001)

*Notice of  
Missing  
Requirements  
Due:  
Oct. 6, 2001*



U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/869388	BATES	E SF0977X

JAYE P. MCLAUGHLIN  
PATENT DEPT. K-6-1, 1990  
SCHERING-PLOUGH CORPORATION  
2000 GALLOPING HILL ROAD  
KENILWORTH, NJ 07033 0530

INTERNATIONAL APPLICATION NO.

PCT/US99/30004

I.A. FILING DATE

PRIORITY DATE

29 DEC 99

31 DEC 98

DATE MAILED:

06 AUG 2001

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☒ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☐ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☒ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☐ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: \_\_\_\_\_

**APPLICANT MUST PROVIDE:**

- ☒ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☒ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE  
CALL:**

(703) 308-4216, for Rules interpretation,  
(703) 308-4212, for CRF submission help,  
(703) 287-0200, for PatentIn software help.

Winston M Alvarado

Telephone: 703-305-6421